United States Department of Agriculture

NRCS
Natural Resources Conservation Service
210 Walnut Street, Room 693
Des Moines, IA 50309-2180

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IOWA INSTRUCTION 440–385 – zROLES IMPLEMENTATION PLAN

IA385.0 PURPOSE

This Iowa Instruction provides Iowa's zRoles Implementation Plan.

IA385.1 SCOPE

These instructions will be followed by NRCS employees and affiliates.

IA385.2 FILING INSTRUCTIONS

This Iowa Instruction will be posted on the Iowa NRCS Employee Website, which can be accessed at http://www.ia.nrcs.usda.gov/intranet/ under the Iowa NRCS eDirectives System section.

IA385.3 EXHIBITS

See attachment.

Richard Sims
State Conservationist

Attachment

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IOWA INSTRUCTION 440–385 – zROLES IMPLEMENTATION PLAN

1. PURPOSE:

This Iowa Instruction provides the Iowa's zRoles Implementation Plan, zRoles workflow, and AD-1143 Instruction. This instruction provides employees with information to use.

2. BACKGROUND:

The zRoles application is the formal process to document authorization to NRCS Business Tools applications. This application provides a centralized location for managing roles and scope for NRCS employees and affiliates for ProTracts, Toolkit, and Fund Manager.

3. EXPLANATION:

Each NRCS employee, affiliate, or TSP is placed in a role with a defined geographic area (scope). Each role permission are granted that allow the role to carry-out specified items in ProTracts, Toolkit, and Fund Manager. This role maybe temporarily changed when employees are acting for someone outside their role.

Approved By: Richard Sims Date: 06/28/2010

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Financial Control and A-123 Security Audits conducted in 2009 identified a significant audit deficiency that NRCS does not have a formal process to document authorization access for ProTracts or for the Vendor Coordinator role within Fund Manager. New access policy CPM 440 Part 512.3 requires formal segregation of duties between each role to meet the audit controls needed in NRCS. The State Conservationist (STC) will ensure separation of duties for committing funds and approving payment application in ProTracts, and second-level review of obligations in Fund Manager by delegating contract responsibilities in writing and authorize appropriate individuals to assign permissions and roles in ProTracts and Fund Manager.

Three levels for separation in granting roles are required:

1. Formal request by the user to have access to the system.
2. Approval of request by the supervisor confirming access level is appropriate.
3. Grant implementation of the request by a delegated zRoles Grantor.

Form AD-1143 will be used to document the request and approval of each action to add, delete or modify user roles for existing employees or affiliates. New employees must have a valid eAuth ID before a request for business tools access is accepted. Supervisors should ensure employees separating from service have submitted an AD-1143 indicating the official separation date as the End Date (Special Instructions block) as soon as the date is established.

The STC delegates zRoles Grantors responsibility to:

ProTracts, Fund Manager

State Role Grantor:
- Roy Campbell, Resource Conservationist, Iowa State Office
- Jennifer Dubendorf, GIS Specialist, Iowa State Office

Field Role Grantor:
- Area Program Specialist
- Area Resource Conservationist

Toolkit

Toolkit State Role Grantor:
- Jennifer Dubendorf, GIS Specialist, Iowa State Office
- Don Carrington, Resource Conservationist, Iowa State Office
- Area Resource Conservationist

Customer Service Toolkit Plug-In (CTP)

CTP Office Role Grantor:
- Jennifer Dubendorf, GIS Specialist, Iowa State Office
- Don Carrington, Resource Conservationist, Iowa State Office

The following zRoles implementation plan conforms to new access policy CPM 440 Part 512.3.

ProTracts and Fund Manager:

1. Program Manager will conduct review of ProTracts and Fund Manager role permissions and establish appropriate permissions that provide acceptable separation of duties and ensures each role meets Iowa protocol for program delivery.

2. Two State Role Grantors assigned provides grantor backup to ensure work flow continuity in assigning new roles. Primary jurisdiction and scope would be for State and area Offices as well as backup for assigning field level roles.

3. Two Field Roles Grantors assigned per area to ensure sufficient knowledge of the process, and provide a backup grantor when needed. Grantors will only assign roles within their duty area as primary jurisdiction.

4. Maintain required AD-1143 at the lowest level possible. Field Roles Grantors receiving roles change requests will maintain a master file in each area office. State Roles Grantors receiving roles change requests will maintain a master file in the State Office for roles within their jurisdiction.

5. Annual certification of roles will be conducted by each Grantor within their duty area. State Roles Grantors will compile and present to STC for certification.

Toolkit:

1. The area resource conservationist (ARC) is delegated the Toolkit State Role Grantors for their respective area. State Toolkit Role Grantors in other areas and in the State Office will provide backup to allow work flow continuity in assigning toolkit permissions. State Toolkit Role Grantors have state-wide jurisdiction to assign Toolkit permissions and will only assign roles after receiving AD-1143 verification with the appropriate signatures.

2. Each assistant state conservationist for field operations (ASTC-FO) and district conservationist (DC) will conduct a review of Toolkit permissions to determine the appropriate level of functionally as well as the geographic scope needed for all personnel to carry out conservation planning activities within a field office. Supervisors will request permissions changes via AD-1143 to the appropriate Toolkit State Role Grantor at the lowest level possible. AD-1143's will be maintained in the master roles file in the area or State Office.

3. It is recommended that all new field office employees, affiliates, and non-field office employees are assigned read-only permissions until they have completed or are registered for one of the Iowa Toolkit training courses (NRCS-IA-000032 or NRCS-IA-00047).

4. Annual certification of roles will be conducted by each Grantor within their duty area. State Roles Grantors will compile and present to STC for certification.

Customer Service Toolkit Plug-In: (Permissions will be set at the State Office.)

Customer Service Toolkit Plug-In (CPT Plug-In or Plug-In) will be utilized when a TSP will be using the CPlanner software to gain access to portions of a producer's Toolkit folder for planning purposes. NRCS process is referred to as CTP Plug-In. Since this is a new tool, procedures are still evolving when working collaboratively with TSPs. Training on CTP Plug-In will initially be provided on an office-by-office basis. Instructions and training will be available statewide in the future.

1. To gain access to the electronic information from Toolkit, the TSP will need to provide the field office with a completed NRCS-CPA-70 (a copy of this form must be signed by all owners and tenants of land included in the plans that are being requested). The NRCS-CPA-70 only refers to the National Conservation Planning Database.

2. The district conservationist (DC) will review the form for completeness insuring that all owners and tenants have signed and completed the form. The expiration date must be entered and should reflect the appropriate length of time to complete the work. The DC may need to an assist the landowner or TSP in determining which plans the TSP will to access.

3. Scan and email the forms to the Toolkit State Role Grantor (Jennifer Dubendorf or Don Carrington) at the State Office. The original NRCS-CPA-70 should be placed in the producer's contract 6-part folder and maintained in the field office.

4. When completed forms are received, the Toolkit State Role Grantor will grant the appropriate CTP Plug-In permissions to the TSP. The NRCS-CPA-70 will be printed and placed in master roles file in the State Office.

5. State Toolkit Coordinator will provide assistance and training on using the CTP Plug-In to field and area offices staffs.

zRoles Workflow

Follow this process to add, delete, or modify an existing user role, or to assign temporary (acting) role for current employees or affiliates. Existing user roles in ProTracts and Fund Manager have been migrated into zRoles. These roles are "grandfathered" in zRoles without an AD-1143, but will be verified through annual certification.

✓ Adding a role after March 25, 2010, requires use of Form AD-1143. The attached sample form shows the necessary information blocks to be entered.

✓ All requests for a role will be initiated and signed by the employee or affiliate.
  - New affiliates must have validated eAuthentication User ID before requesting a role.

✓ Supervisor's signature is required to approve each role request. Role approval must be made according to policy outlined in CPM 440 Part 512.3 and applicable to position description or authority delegated to the employee. For example, a soil conservation technician should not be assigned the Designated Conservationist role.

✓ **Approved field office role requests will be forwarded through the area office to the appropriate Field Roles Grantor.** The AD-1143 maybe faxed or scanned.

- When a Field Roles Grantor is unavailable, the approved request should be forwarded to a State Roles Grantor to assign the user role.
- Field Roles Grantors will establish a file for approved AD-1143's in their respective areas. The AD-1143 forms must be maintained following the Record Disposition Guidelines in GM 120 Part 408.
  - *Destroy materials 6 years 3 month after the period covered by the accounts.*

✓ **Approved state level role requests will be forwarded to the appropriate State Roles Grantor.** The AD-1143 maybe faxed or scanned. Only the State Roles Grantor can assign state level roles. Financial Assistance roles will be forwarded to the national Financial Roles Grantor as required.

- Field Roles Grantors will establish a file for approved AD-1143's in their respective areas. The AD-1143 forms must be maintained following the Record Disposition Guidelines in GM 120 Part 408.
  - *Destroy materials 6 years 3 month after the period covered by the accounts.*

✓ ProTracts and Fund Manager users can have only one role for each business tool. After receiving an approved AD-1143 assigning a new role, the Roles Grantor will deactivate the old role.

- User roles that have not been used for 30 days will be deactivated automatically.
- Roles will be deactivated when an employee resigns.
- For employees on detail, the Role Grantor will set an end date for the role to expire. Reactivation of the prior role does not require an AD-1143.

✓ Field and State Roles Grantors will annually review and verify appropriate roles assigned to employees within their jurisdiction. A roles report from each area will be forwarded to the State Roles Grantor and compiled for certification by the State Conservationist.

AD-1143 U. S. DEPARTMENT OF AGRICULTURE

CORPORATE SYSTEMS ACCESS REQUEST FORM

Instructions: Complete highlighted blocks 4, 9, 14, 15, and 36. Employee's signature required in block 37. Supervisor's signature required in block 42. Transmit completed form to the appropriate zRoles Grantor within your area.

1. SYSTEM/APPLICATION NAME
Check one or more and complete the applicable section(s)

- [ ] Automated Cash Reconciliation Worksheet System
- [ ] Corporate Property Automated Information System
- [ ] Financial Data Warehouse
- [ ] Foundation Financial Information System
- [ ] GovTrip.com
- [ ] Integrated Acquisition System
- [ ] Management Initiatives Tracking System

USER INFORMATION *(See Privacy Act Statement)*

3. USER'S SSN (See Instructions)	4. USER'S NAME *(Last, first, middle initial)*	5. USER'S TITLE OR CONTRACTOR*
XXXXXXXXXXXX		

6. USER'S MAILING ADDRESS WITH ZIP CODE	7. AGENCY	8. OFFICE

9. USER'S E-MAIL ADDRESS	10. USER'S PHONE NUMBER	11. MANAGER'S PHONE NUMBER
	( ) - -	( ) - -

*See special instructions

ACTION REQUESTED

NAME CHANGE	12. OLD NAME *(Last, first, middle initial)*	13. NEW NAME *(Last, first, middle initial)*
ACCESS	14. (Check all that apply): ☐ Add User ☐ Delete User ☐ Modify User Profile ☐ Agency Cross-Service Access	15. USER ID(S) (Include NFC, FFIS, E-Auth User ID, if applicable)

SPECIAL INSTRUCTIONS

36. SPECIAL INSTRUCTIONS

Protracts

___ Affiliate FO
___ Field Office
___ Field Office Manager
___ Designated Conservationist
___ Program Specialist
___ Area/Zone Manager

Fund Manager

___ FM Affiliate
___ FM State
___ FM Obligation Approval
___ FFIS User
___ Vendor Coordinator

Toolkit

___ Read Only
___ Basic Read/Write
___ Basic Read/Write ALL

Counties: ____________________

Offices: ____________________

End Date (Date temporary assignments expires): ____________________

Instructions: ____________________

USER ACKNOWLEDGEMENT

I have read the automated information systems security rules and understand the security requirements of the automated information systems and/or applications described on this form. I understand that any violation of these rules may result in disciplinary action, removal from the agency/USDA, and/or criminal prosecution.

37. USER'S SIGNATURE REQUIRED	38. DATE REQUIRED

BACKGROUND INVESTIGATION

39.	40. DATE *(Initiated or completed)*	41. PRINT MANAGER'S NAME
☐ Initiated ☐ Completed		

AUTHORIZATION

User's Manager – *I certify this user has received security instructions for the systems and/or applications indicated, and I approve his/her access to these systems and/or applications and the*	42. **MANAGER'S SIGNATURE** REQUIRED	43. **DATE** REQUIRED

ACTION TAKEN

44. **SECURITY ADMINISTRATOR** REQUIRED	45. **DATE** REQUIRED

46. SECURITY ADMINISTRATOR NOTES

PRIVACY ACT NOTICE

In compliance with the Privacy Act of 1974, the following information is provided: Solicitation of your Social Security Number is authorized by Executive Order 9397 of November 22, 1943 and 5 U.S.C. 301. The primary purpose of requesting the Social Security Number (SSN) is to properly identify the employee. Many employees have similar names and the furnishing of the SSN will enable USDA to identify authorized users of USDA's computer systems. The information will be used by offices and employees who have a need for the information in the performance of their official duties. The information will not be disclosed outside USDA. Disclosure of your SSN and other information is mandatory. Failure to provide the requested information will result in the denial of the requested computer access authority.